



FEDERAL TRANSIT ADMINISTRATION

North Carolina DOT Fall Training

Raleigh, NC
October 9, 2018

FTA Updates

Valencia Williams, Community Planner



U.S. Department of Transportation
Federal Transit Administration

Session Overview

- Region IV Overview
- FTA Programs Overview
- Updates
 - Planning
 - Program Management/Oversight



FTA Region IV Overview



Legislative Authority

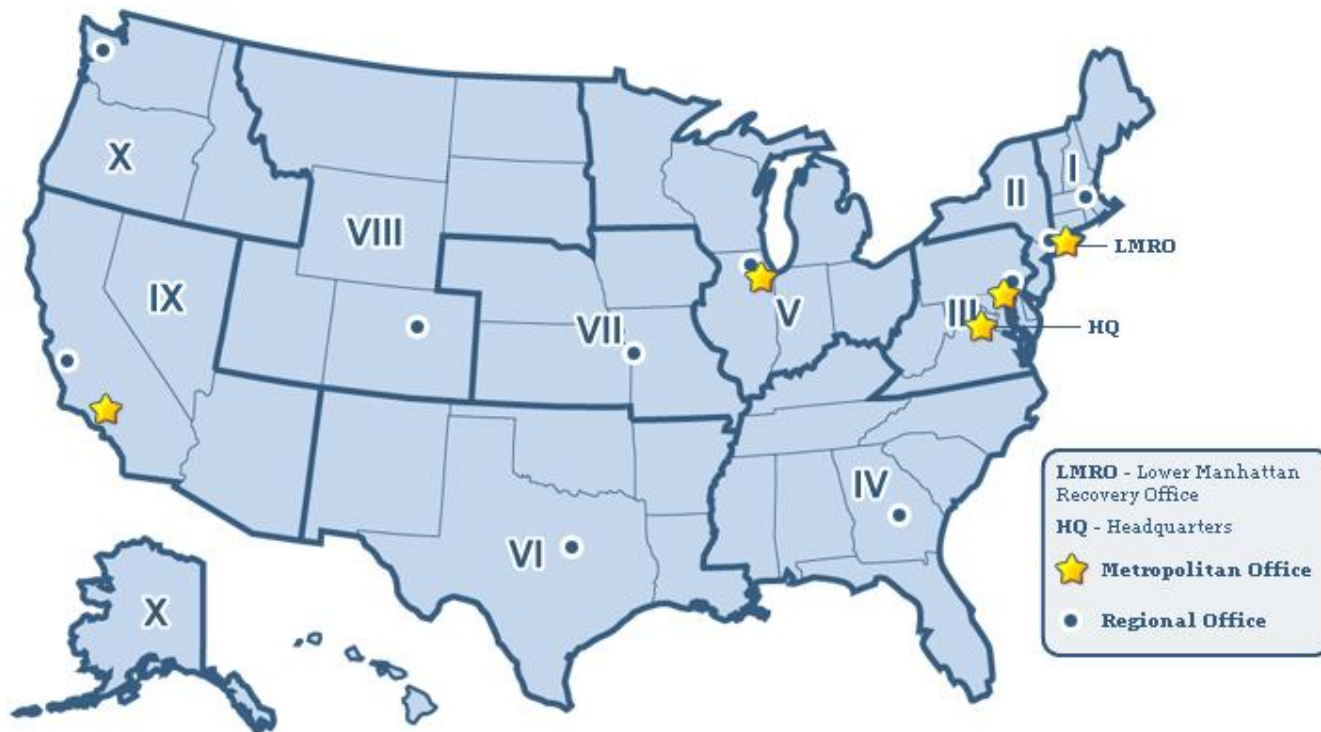
- FTA is part of U.S. DOT
- U.S. DOT is part of the Executive Branch
- Congress delegates to executive agencies authority to carry out programs
- FTA's programs are authorized in the Federal Transit Act, as amended most recently by FAST Act

FTA's Regional Offices

- **Mission:** Provides Federal financial and technical assistance for the planning and development of mass transportation systems in urbanized and non-urbanized areas
- **10 Regional Offices:** Boston, New York, Philadelphia, Atlanta, Chicago, Dallas, Kansas City, Denver, San Francisco, and Seattle
 - Other Regional Offices:
 - Megaprojects Oversight and Lower Manhattan Recovery Office (Region 2)
 - Hurricane Sandy Recovery Office (Region 2)
 - Washington DC Metropolitan Office (Region 3)
 - San Juan Remote Office (Region 4)
 - Los Angeles Metropolitan Office (Region 9)

FTA Organization

- Approximately 520 staff
- HQ in Washington DC + 10 Regional Offices



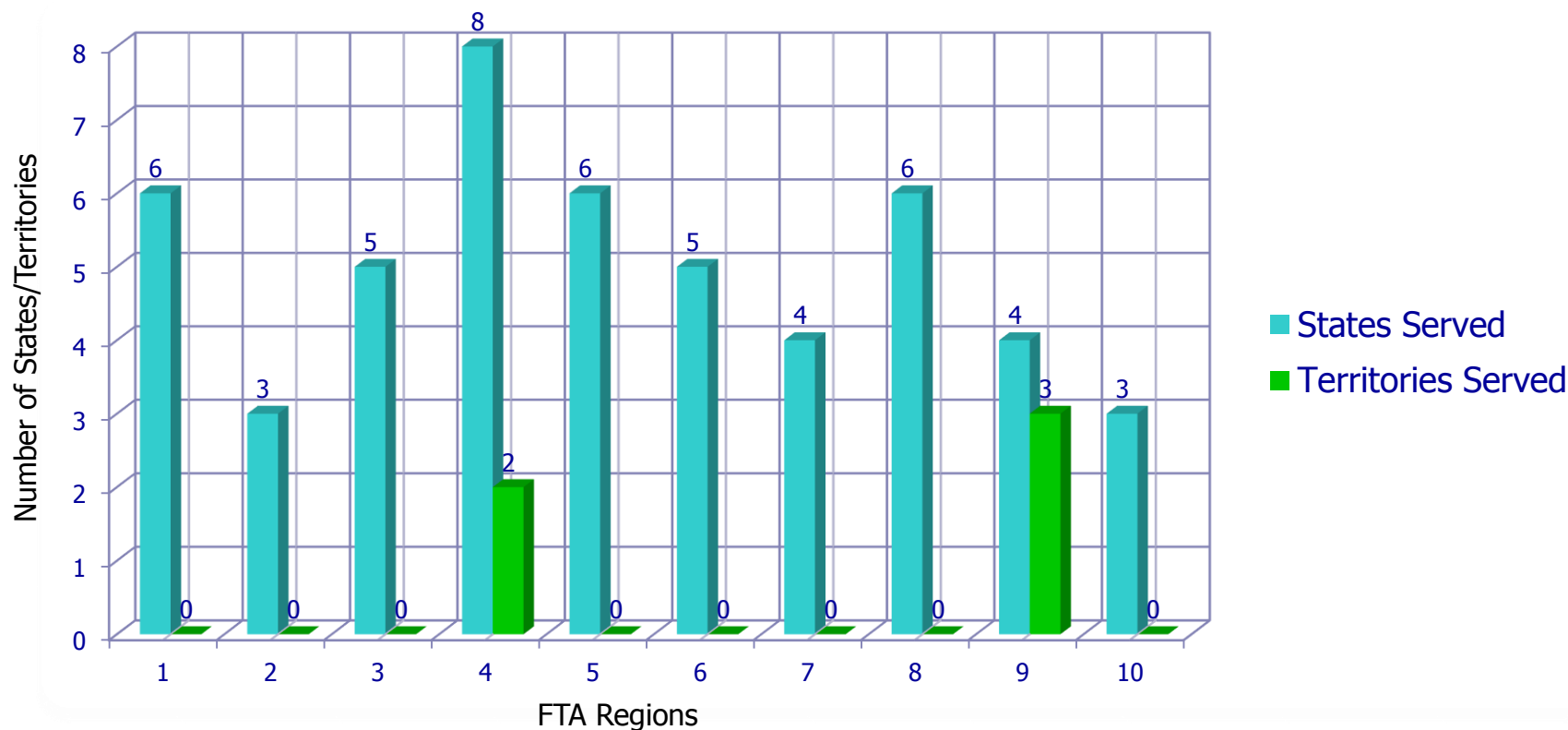
FTA Organization

- 8 States and 2 U.S. Territories



FTA Regional Comparison

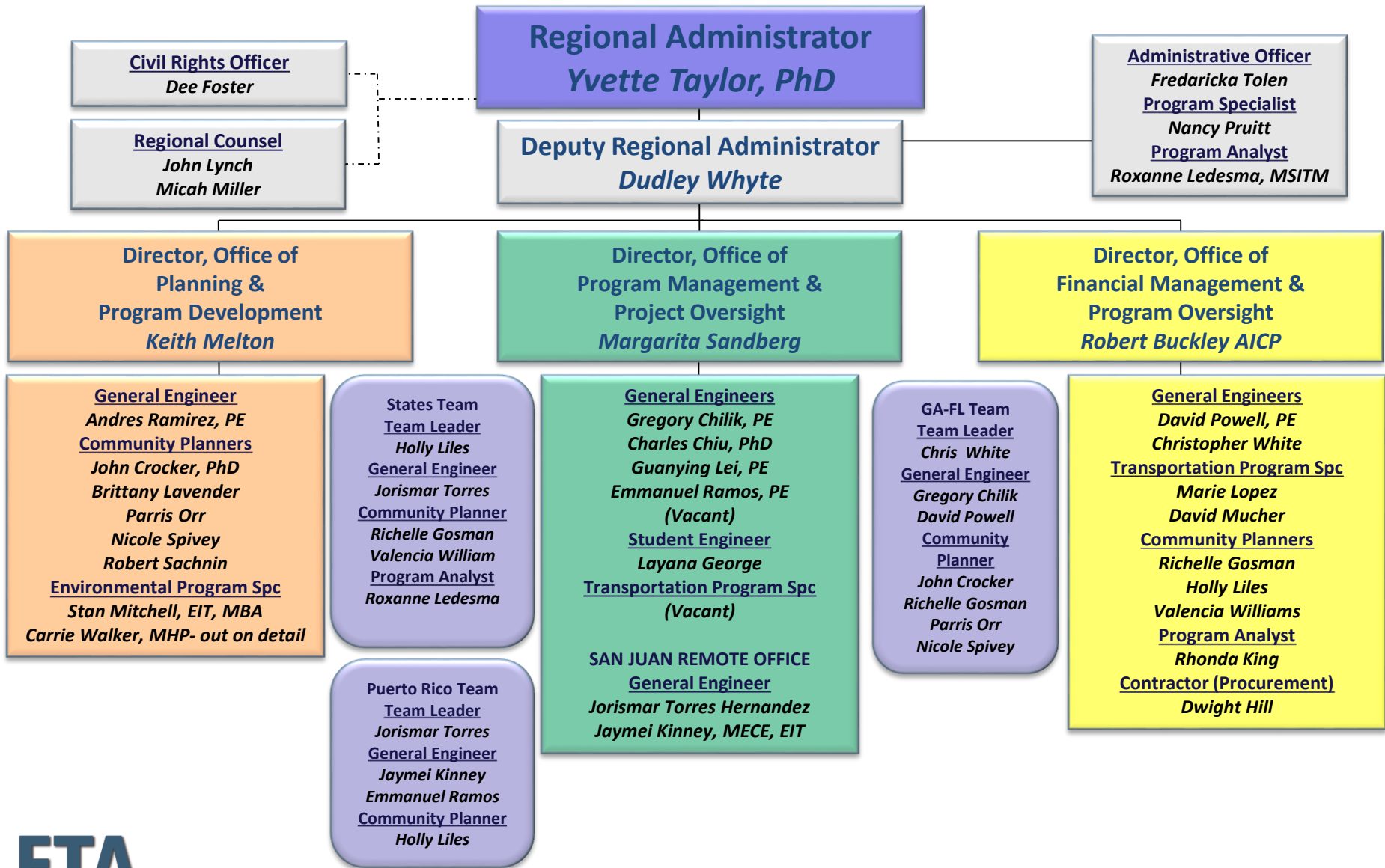
States/Territories Served by FTA Regions



Region IV Office

- Regional & Deputy Administrator
- Legal & Civil Rights Officer
- Community Planners & Transportation Program Specialists
- General Engineers & Transportation Program Specialists
- Environmental Specialist
- Support Staff

FTA Region IV Office (TRO-04)



Office of Planning and Program Development

- Participates in the Federal, State and local transportation planning and program development process
- Participates in the NEPA and Sec. 106 process
- Performs analyses of grantees' project justifications and applications for planning, capital and operating assistance
- Develops, reviews and recommends for approval: grants, grant amendments, letters of no prejudice, advance construction authority, and other financial assistance instruments
- Reserves commitments of funds and certifies funds
- Ensures designation actions from Governors for MPOs and designated recipients

Office of Operations and Program Management

(In Regions 4, 5, & 9, this office is called the Office of Program Management and Project Oversight)

- Provides technical assistance to grantees and State DOTs in the execution of project management actions on FTA-funded projects
- Reviews and evaluates the performance of grantees in the implementation of projects
- Performs all required project management activities, including third party contract review, review of Buy America Waiver requests, monitoring of quarterly progress reports and project closeout
- Monitors grantees' performance of major capital projects
 - Project Management Oversight contractors

Office of Financial Management and Program Oversight

(These functions are performed by the Office of Operations & Program Management in Regions 1-3, 6-8, 10)

- Performs Oversight Reviews through the use of contractors:
 - Triennial reviews
 - State management reviews (Sections 5310 and 5311)
 - Financial management systems reviews
 - Procurement systems reviews
- Coordinates FTA responses to audits by the OIG, GAO
- Ensures compliance with 2 CFR Part 200 Subpart F Audit Requirements
- Reserves and records commitments of funds and certifies funds
- Coordinates emergency response and recovery activities (including Emergency Relief Program funding)

Region IV Office

State Programs Team

- Focused on the needs and requirements of State DOTs
- Team Members:
 - Holly Peterson: PRHTA, GDOT, KYTC
 - Valencia Williams: NCDOT, SCDOT, MDOT, TDOT, Tribes
 - Christopher White: FDOT
 - Roxanne Ledesma: ALDOT, Virgin Islands

Region IV Office

Other Region IV Teams

- GA-FL Team
 - Mission: To develop and implement procedures to enhance planning, grant development and oversight in order to increase efficiency and improve customer service to our grantees and partners

Region IV Office

Other Region IV Teams

- PR Team
 - Focused on the issues surrounding Puerto Rico.
 - Hybrid of State Programs and GA/FL Teams.
 - Community Planner/Program Manager
 - PRHTA State Grants
 - Planner
 - Direct Recipients
 - Engineer/Program Manager
 - Direct Recipients

Region IV Office/Partnership

North Carolina FTA Contacts:

– UZAs

- Pre Award - Planning, NEPA, Grant Making
 - Brittany Lavender, Community Planner, brittany.lavender@dot.gov, 404-865-5475
 - John Crocker, Community Planner, john.crocker@dot.gov, 404-865-5624
- Post Award - Grant and Project Management, Oversight, ARRA
 - Guanying Lei, General Engineer, guanying.lei@dot.gov, 404.865.5615
 - Charles Chiu, General Engineer, charles.chiu@dot.gov, 404-865-5608

– DOTs

- NCDOT
 - Valencia Williams, Community Planner, valencia.Williams@dot.gov, 404.865.5634

FTA Organizational Update

- New Hires

- Brittany Lavender, Community Planner
- John Croker, Community Planner
- Rob Sachnin, Community Planner
- Charles Chiu, General Engineer
- Patrick Winders, General Engineer
- Linda Segovia, General Engineer
- Aviance Web, Planning Intern
- Sequoia Garlington, Policy Intern
- Roxanne Ledesma, Emergency Management
- Jaymei Kinney, PR Emergency Management
- Nelson Delgado, PR Engineer Intern
- Shazad Hamid, Administrative Intern

- Departures

- Richelle Gosman, Community Planner

Region IV Office Summary

- Number Grants Awarded annually: approximately 400 +
- Total Dollars Obligated annually: over \$1 billion
- Active Grantees: 179
- Active Grants: 1,373
- Planning Certification Reviews (Transportation Management Areas) >5-10 per year
- Number of Triennial Reviews: 50 per year
- Number of Specialized Oversight Reviews: 19 per year
- Number of Open Oversight Findings: 134
- Number of Urbanized Areas: 105

FTA Grant Programs

FTA Formula Programs

- 5303/5304
- 5307
- 5310
- 5311
- 5337
- 5339

Section 5303/04: Metropolitan and Statewide Planning



FTA Grant Programs

Section 5303/5304

- **5303 – Metropolitan Planning Program**
 - Support a cooperative, continuous, and comprehensive planning program for transportation investment decision-making at the metropolitan.
- **5304 – Statewide Planning Program**
 - Support a cooperative, continuous, and comprehensive planning program for transportation investment decision-making at the state level.
- **Eligible Project Types**
 - Planning Only
 - State DOTs and MPOs (through DOTs)
- **Period of Availability = Year +3**

Section 5307: Urbanized Area Formula



FTA Grant Programs

Section 5307: Urbanized Area Formula

- Purpose:
 - Grants to Urbanized Areas (UZA) for public transportation capital, planning, job access and reverse commute projects, as well as operating expenses in certain circumstances.
- Eligible Project Types
 - Capital, Operating, and Planning
 - Job Access and Reverse Commute type projects (no set-aside or cap)
 - JARC projects should be added under the 646-00 Scope
 - To be eligible for operating assistance, must
 - Be located in Small UZA
 - Be a small operator (less than 100 buses) in large UZA and use new ALI
 - Apportionment Table 3A

FTA Grant Programs

Section 5307: Urbanized Area Formula

- **Other Provisions**

- Funding provided by other non-DOT federal government agencies or departments that are eligible to be expended on transportation may be used as local match.
- Certain expenditures by vanpool operators may be used as local match.

- **Period of Availability**

- Year of apportionment plus 5

Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Program



FTA Grant Programs

Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Formula

- **Program Purpose:**
 - Intended to enhance mobility for seniors and persons with disabilities by providing funds for programs to serve the special needs of transit-dependent populations beyond traditional public transportation services and Americans with Disabilities Act (ADA) complementary paratransit services.

FTA Grant Programs

Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Formula

- **Eligible Project Types (derived from coordinated plan)**
 - “Traditional 5310 Projects”
 - To provide transportation for seniors and persons with disabilities.
 - Capital Only
 - Typical recipients – non-profit agencies
 - Project examples: accessible van procurement, purchase of service (POS), equipment, mobility management
 - “Traditional 5317 Projects”
 - To provide transportation for seniors and persons with disabilities that go beyond ADA requirements
 - Capital And Operating
 - Project examples: bus purchase, route operations (beyond ADA requirements), mobility management
 - These projects should be added under the 647-00 Scope

FTA Grant Programs

Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Formula

- Includes New Freedom (5317)
- Large UZA Designated Recipient Requirement
 - Under MAP-21 this program no longer provides a single apportionment to the State; provides specific apportionments to large UZAs, small UZAs, and rural areas.
 - Designated Recipients must be named in large urbanized areas BEFORE funds can be awarded
- 55% minimum MUST be spent on “traditional 5310 projects”
- Remaining 45 % MAY be spent on “traditional 5317 projects”
- Up to 10% MAY be spent on Program Administration (100% federal)
- Competitive selection process recommended, but not required

FTA Grant Programs

Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Formula

- **Other Provisions**

- State/Program Management Plans required
- Programs of Projects (POP) required
- Transfer provisions
 - Rural or Small UZA → Large UZAs – only if there is an approved statewide coordinated plan
 - Rural → Small UZA – can be transferred if Governor provides letter to FTA certifying the needs in the rural area are being met.
 - Small UZA → Rural – can be transferred if Governor provides letter to FTA certifying the needs in the small UZAs are being met.
 - No other types of transfers allowed

- **Period of Availability**

- Year of apportionment plus 2

Section 5311: Rural Area Formula Program



FTA Grant Programs

Section 5311: Non-Urbanized Area Formula

- **Program Purpose**

- Grants to rural areas for public transportation capital, planning, job access and reverse commute projects, as well as operating expenses in certain circumstances.
- State DOTs apply directly to FTA for funds apportioned under this program (with exception of Tribal Transit Program funds)

- **Eligible Project Type**

- Capital, Operating, Planning, and Administration
- Job Access and Reverse Commute (JARC) type projects
 - JARC projects should be added under the 646-00 Scope
- Rural Transportation Assistance Program – training and technical assistance projects

FTA Grant Programs

Section 5311: Non-Urbanized Area Formula

- Appalachian Development Transportation Assistance Program (ADTAP) - \$20 Million / 13 States
 - Additional funding to support public transportation in the Appalachian region.
 - Eligible states/counties: <http://www.arc.gov/counties>
 - Funds under this program can be transferred to FHWA for highway purposes within the same geographic area, under certain circumstances
 - These projects should be added under the 648-00 scope
- Public Transportation on Indian Reservations Program – Formula and Discretionary - \$30 Million
 - Funds can be used by Indian tribes for any purpose eligible under section 5311
 - \$5 million will be allocated on a competitive basis
 - \$25 million will be allocated by formula

FTA Grant Programs

Section 5311: Non-Urbanized Area Formula

- **Other Provisions**
 - 15% must continue to be spent on Intercity bus unless Governor certifies needs are being met
- **Period of Availability**
 - Year of apportionment plus 2

Section 5337: State of Good Repair



FTA Grant Programs

Section 5337: State of Good Repair Program

- **Program Purpose**

- Provides capital assistance for replacement and rehabilitation projects of existing fixed guideway systems
- Funding is apportioned to fixed guideway systems open for at least 7 years with a minimum length of 1 mile

- **Eligible Project Type**

- Capital replacement and rehabilitation projects
- Preventive maintenance
- Any fixed guideway project in the UZA is eligible regardless of age

FTA Grant Programs

Section 5337: State of Good Repair Program

- Projects that solely expand capacity or service are not eligible
- High-occupancy vehicle (HOV) lanes are no longer part of the definition for fixed-guideway systems
- There is a new definition for high-intensity motor buses, which is defined as public transportation that shares lanes with other HOV vehicles.

• Other Provisions

- State of Good Repair projects must be included in Transit Asset Management (TAM) plans after final rule is issued

• Period of Availability

- Year of apportionment plus 3

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Section 5339: Bus and Bus Facilities Formula



FTA Grant Programs

Section 5339: Bus and Bus Facilities Formula

- **Program Purpose**

- Provides capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

- **Eligible Project Types**

- Capital Only
- Project examples: bus purchase, facility rehabilitation and construction, equipment
- Preventive Maintenance NOT ELIGIBLE

FTA Grant Programs

Section 5339: Bus and Bus Facilities Formula

- Replaces the Section 5309 Bus and Bus Facilities Program.
- Converted to formula program
- Eligible applicants (to FTA)
 - Only 5307 Designated Recipients can make grant applications to FTA
- Eligible Sub-recipients
 - Public agencies or private nonprofit organizations engaged in public transportation
- Three pots of money:
 - Large Urban
 - Small UZA
 - National Distribution

FTA Grant Programs

Section 5339: Bus and Bus Facilities Formula

- **Other Provisions**
 - Transferability
 - Funds cannot be transferred across areas
 - Exception: National Distribution allocation.
 - Up to State DOTs to suballocate.
 - Then can be transferred to 5307 or 5311.
 - Must be used consistent with requirements of 5339 (i.e. capital only)
- **Period of Availability**
 - Year of apportionment plus 3

FTA Updates

- Public Transportation Agency Safety Plan Final Rule (PTASP)
- Public Transportation Safety Certification Training Program (PTSCTP)
- Overview of Safety Rulemaking
- Transit Asset Management (TAM)
- Discretionary Programs
- Circular Updates

Public Transportation Agency Safety Plan Final Rule (PTASP)

<https://www.gpo.gov/fdsys/pkg/FR-2018-07-19/pdf/2018-15167.pdf>

Published 7/19/2018

- **49 CFR Part 673** requires operators that receive funds under Section 5307 to **develop safety plans** that include the processes and procedures to implement [Safety Management Systems \(SMS\)](#).
 - Plans must include safety performance targets
 - not required for operators that received *only* 5310 and/or 5311
- **Key Dates**
 - July 19, 2018 – PTASP Final Rule issued
 - July 19, 2019 – PTASP Rule becomes effective
 - **July 20, 2020** – Transit operators must certify they have a safety plan in place meeting the requirements of the rule.
 - The plan must be updated and certified by the transit agency or state annually.
- If you receive questions on the PTASP rule, share FTA's webpage:
<https://www.transit.dot.gov/PTASP>
 - HQ Contact: PTASP Team - PTASP_QA@dot.gov

Public Transportation Agency Safety Plan Final Rule (PTASP)

<https://www.gpo.gov/fdsys/pkg/FR-2018-07-19/pdf/2018-15167.pdf>

- **Application of Rule**

- The rule **APPLIES** to all operators of public transportation systems that are **recipients and sub-recipients** of Section **5307** funding
- The rule **DOESN'T APPLY** to public transportation systems that **only receive Section 5310, 5311 or Tribal Transit** funding
- The rule **DOESN'T APPLY** to public transportation systems that are **subject to the safety jurisdiction of another federal agency**, for example:
 - Passenger ferry systems regulated by US Coast Guard
 - Commuter rail systems regulated by FRA

Public Transportation Agency Safety Plan Final Rule (PTASP)

<https://www.gpo.gov/fdsys/pkg/FR-2018-07-19/pdf/2018-15167.pdf>

✓ **Drafting & Certification of Plan**

- States must draft and certify a Safety Plan on behalf of any **small** public transportation provider located in that State, unless the small provider notifies the State that the provider will draft and certify its own Safety Plan.
- This requirement stands even if no funding relationship exists between a State and a small public transportation provider, as may be the case for small recipients in large urbanized areas.

✓ **Large Public Transportation Providers**

- A bus transit system that operates more than 100 vehicles in peak revenue service must draft and certify its own Safety Plan.

✓ **Funding Eligibility**

- State Safety Oversight (SSO) Agencies are not required to provide oversight unless the transit system operates rail
- SSO Program Funds cannot be used to develop PTASPs
- States can utilize appropriated Sec 5307 UZA funds to develop PTASPs

Public Transportation Safety Certification Training Program (PTSCTP)

<https://www.gpo.gov/fdsys/pkg/FR-2018-07-19/pdf/2018-15168.pdf>

Published 7/19/2018

- ✓ **49 CFR Part 672** establishes a **uniform curriculum** for safety training to enhance the technical proficiency of rail transit safety personnel
 - effective August 20, 2018
 - *replaces* the Interim Safety Certification Training Program Provisions that became effective May 28, 2015
 - While not required, other safety personnel (including bus) are encouraged to participate voluntarily.
- ✓ implements FTA's statutory requirements at **49 U.S.C. § 5329(c)**
 - Provides federal requirements for the certification/training of SSOA personnel/contractors who conduct safety audits/examinations of rail systems, and rail transit agency personnel/contractors who are directly responsible for safety oversight.
- ✓ If you receive questions on PTSCTP, share FTA's webpage:
<https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training>
 - HQ Contact: TSO

Overview of Safety Rulemakings

Regulation	Rule Overview	Status
Interim Safety Certification Training Program Provisions	Fills gap in training needs until the PTSCTP Final Rule is published	Final Provisions Published: 2/27/2015 Effective: 5/28/2015
State Safety Oversight 49 C.F.R. Part 674	Strengthens State oversight of rail transit systems	Final Rule Published: 3/16/16 Effective: 4/15/16
Public Transportation Safety Program 49 C.F.R. Part 670	Establishes the procedural rules for enforcement of FTA's safety programs	Final Rule Published: 8/11/2016 Effective: 9/12/2016
National Public Transportation Safety Plan	Sets safety performance measures for PTASP performance targets	Final Guidance Published: 1/17/17
Public Transportation Agency Safety Plan 49 C.F.R. Part 673	Requires transit agencies to develop and implement safety plans based on SMS principles	Final Rule Published: 7/19/2018 Effective: 7/19/2019 Compliance: 7/20/2020
Public Transportation Safety Certification Training Program 49 C.F.R. Part 672	Establishes training curriculum to ensure basic level of safety-related competency for rail transit system auditing and oversight	Final Rule Published: 7/19/2018 Effective: 8/20/2018
Preventing Transit Worker Assault NPRM	FAST Act requirement	Under Development

State Safety Oversight (SSO) Latest

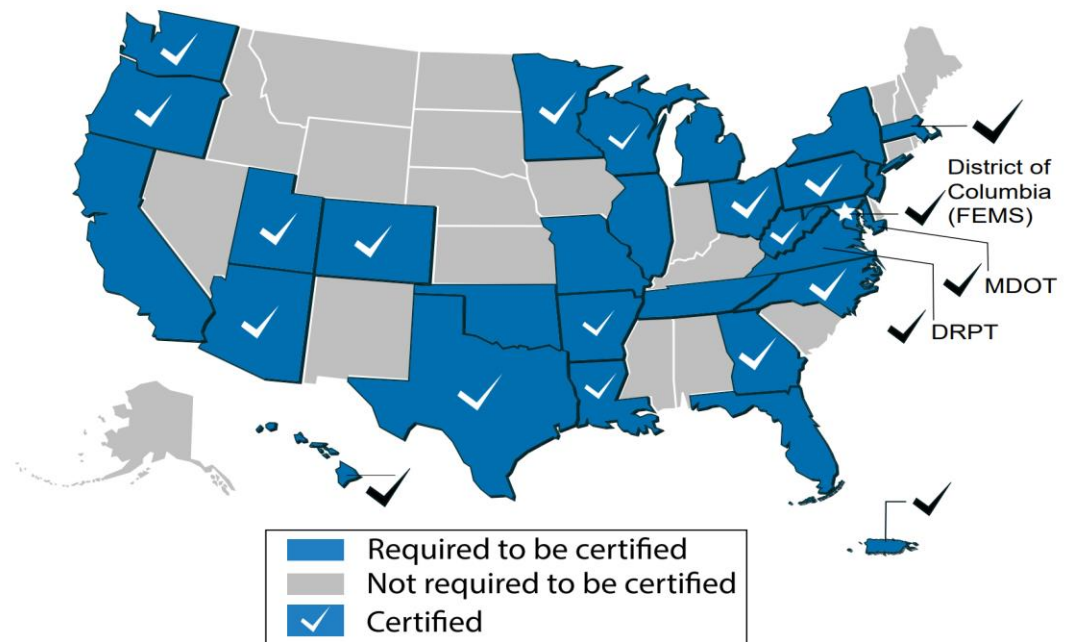
<https://www.transit.dot.gov/about/news/fta-announces-certification-state-safety-oversight-programs-arkansas-louisiana-texas-and>

✓ Certified

- Georgia DOT
- North Carolina DOT
- Puerto Rico EMA

✓ Pending

- Tennessee DOT
- Florida DOT



FTA Updates

- Discretionary Programs
- Circular Updates

National Updates

FY 2018 Competitive Programs	Statute 49 U.S.C.	2018 Authorized Funding Level	Status
Tribal Transit	5311(c)(1)(A)	\$5.0 M	NOFO 7/11/18; Applications Due 9/10/18
Grants for Buses and Bus Facilities Competitive Program	5339(b)	\$366.29 M	NOFO 6/21/18; Applications Due 8/6/18
Pilot Program TOD Planning	MAP-21 Section 2005(b)	\$10.0 M	NOFO 5/24/18; Applications Due 7/23/18
Better Utilizing Investments to Leverage Development (BUILD) Transportation Grants Program	N/A	\$1.55 B	NOFO 4/25/18; Applications Due 7/19/18
Low or No Emission Grants Competitive Program	5339(c)	\$84.45 M	NOFO 4/23/18; Applications Due 6/18/18
Innovative Coordinated Access and Mobility Grants	FAST Section 3006(b)	\$3.25 M	NOFO 9/13/18; Applications Due 11/13/18

Program Management Updates

Program Circular Updates

- 5010.IE – Revision 2 published 7/16/18
 - Topic: Award Management
- 8100.ID – Published 8/9/18; final 9/10/18
 - Topic: Planning

Program Management Updates

TrAMS Training

- Webinars
 - Pre-award completed in June (available on FTA Region IV Website under “Grantee Resources”)
 - Post-award being developed
- Hands-On Training
 - Starting January, 2019

Questions?

